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PTO-1390 (Rev. 12-2004)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

BRV.10035

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/518,453

INTERNATIONAL APPLICATION NO.

PCT/FR2003/001944

INTERNATIONAL FILING DATE

June 24, 2003

PRIORITY DATE CLAIMED

June 24, 2002

TITLE OF INVENTION METHOD AND DEVICE FOR DEPOSITING CARBON NANOTUBES ... NANOTUBES BY PYROLYSIS

APPLICANT(S) FOR DO/EO/US Martine MAYNE et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: PTO/SB/08 and 23 documents

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO-1390 (Rev. 12-2004)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/518,453		PCT/FR2003/001944		BRV.10035	
21. The following fees are submitted:					
<input type="checkbox"/> a) Basic national fee.....				\$	
<input type="checkbox"/> b) Examination fee.....				\$	
<input type="checkbox"/> c) Search fee.....				\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250.00	\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	- 20 =	1	x \$50.00	\$	
Independent claims	- 3 =		x \$200.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$	
				Amount to be refunded:	\$
				Amount to be charged:	\$
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. <u>50-3218</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-3218</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>					
<p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p>					
SEND ALL CORRESPONDENCE TO:					
Hutchison & Mason PLLC					
Customer Number: 45473					
P.O. Box 31686					
Raleigh, North Carolina 27612					
(919) 829-9600					
				<p><i>Mary B. Grant</i></p> <p>SIGNATURE</p>	
				<p>Mary B. Grant</p> <p>NAME</p>	
				<p>32,176</p> <p>REGISTRATION NUMBER</p>	
				<p>Date: <u>8/15/05</u></p>	

Patent
Attorney Docket No. BRV.10035

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Martine MAYNE et al.

Application No.: 10/518,453

Group Art Unit: Unassigned

International Filing Date: June 24, 2003

Examiner: Unassigned

Title: Method and Device for Depositing
Carbon Nanotubes or Nitrogen-Doped
Carbon Nanotubes by Pyrolysis

Confirmation No.: 7851

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. § 1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. A copy of each of the documents cited and required by 37 C.F.R. § 1.98 is enclosed.

Some of the listed documents were cited in the International Search Report and in a Search Report from the French Patent Office in corresponding prior applications, copies of which are enclosed. A copy of the English translation of International Preliminary Examination Report is also enclosed.

This Information Disclosure Statement contains information which is not in the English language but was cited in a search report or other action by a foreign patent office in a counterpart foreign application. In accordance with MPEP § 609 IIIA(3), a version of the search report or action which indicates the degree of relevance found by the foreign office is being submitted herewith. English language equivalent applications also have been provided according to MPEP § 609 IIIA(3), where applicable.

To assist the Examiner, the documents are listed on the attached form PTO/SB/08. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

/Daniel Mccracken/

04/07/2008

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.M./

The cited documents are being submitted within three (3) months of the filing or entry of the national stage of this application or before the first Office Action on the merits, whichever is later. Since these documents are being filed within the time period set forth in 37 C.F.R. § 1.97(b), no fee or statement is required.

The Director is hereby authorized to charge any appropriate fees that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-3218.

Respectfully submitted,

HUTCHISON & MASON PLLC

Date: 8/16/05

By: Mary B. Grant
Mary B. Grant
Registration No. 32,176

P.O. Box 31686
Raleigh, NC 27612
+1.919.829.9600

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on 8/16/2005

Jennie Snead
(Typed Name of Person Signing Certificate)

Jennie Snead
(Signature of Person Signing Certificate)

Date of Signing: 8/16/05

/Daniel Mcracken/

04/07/2008

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.M./

PTO/SB08A(08-03)
Approved for use through 07/31/2008, OMB 0651-0031
US Patent & Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>	Complete if Known	
	Application Number	10/518,453
	Filing Date	June 24, 2003 (Int'l. Filing Date)
	First Named Inventor	MAYNE, Martine
	Group Art Unit	Unknown
	Examiner Name	Unknown
Sheet 1 of 3		Attorney Docket No: BRV.10035

US PATENT DOCUMENTS			
Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document
	5 945 162	08/31/1999	Senateur et al.

FOREIGN PATENT DOCUMENTS				
Examiner Initials*	Foreign Document No	Publication Date	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Abstract, Translation, English Language Equivalent or Search Report
	FR-2 707 671	01/20/1995		English equivalent provided
	WO-00/63115	10/26/2000		

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Abstract, Translation, English Language Equivalent or Search Report
	AGO, HIROKI ,et al., "Dispersion of metal nanoparticles for aligned carbon nanotube arrays", <u>Applied Physics Letters</u> , vol. 77, no. 1, pp. 79-81 (Jul. 3, 2000).	
	AGO, HIROKI ,et al., "Gas-Phase Synthesis of Single-wall Carbon Nanotubes from Colloidal Solution of Metal Nanoparticles", <u>J. Phys. Chem. B</u> , vol. 105, no. 43, pp. 10453-56 (Nov. 1, 2001).	
	ANDREWS, R. ,et al., "Continuous production of aligned carbon nanotubes: a step closer to commercial realization", <u>Chemical Physics Letters</u> , vol. 303, no. 5-6, pp. 467-474 (Apr. 16, 1999).	
	CAO, ANYUAN ,et al., "An effective way to lower catalyst content in well-aligned carbon nanotube films", <u>Carbon</u> , vol. 39, no. 1, pp. 152-155 (Jan. 2001).	
	CAO, ANYUAN ,et al., "Synthesis of well-aligned carbon nanotube network on a gold-patterned quartz substrate", <u>Applied Surface Science</u> , vol. 181, pp. 234-238 (2001).	
	CHE, R. ,et al., "Fe2O3 particles encapsulated inside aligned CNx nanotubes", <u>Appl. Phys. Lett.</u> , vol. 82, no. 19, pp. 3319-3321 (May 12, 2003).	

EXAMINER

/Daniel Mcracken/

DATE CONSIDERED

04/07/2008

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional) ? Applicant is to place a check mark here if English language Translation is attached.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.M./

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/518,453
Filing Date	June 24, 2003 (Int'l. Filing Date)
First Named Inventor	MAYNE, Martine
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 2 of 3

Attorney Docket No: BRV.10035

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume- issue number(s), publisher, city and/or country where published.	Abstract, Translation, English Language Equivalent or Search Report
	DATABASE WPI, <u>Section Ch, Week 200273, Derwent Publications Ltd., London, GB (Apr. 3, 2002) (Doc. XP-002232175) KR 20020001392.</u>	
	GROBERT, N. ,et al., "A novel route to aligned nanotubes and nanofibres using laser-patterned catalytic substrates", <u>Appl. Phys. A, vol. 70, pp. 175-183 (2000).</u>	
	GROBERT, N. ,et al., "Alloy nanowires: Invar inside carbon nanotubes", <u>Chem. Commun., pp. 471-472 (2001).</u>	
	HUANG, SHAOMING ,et al., "Patterned and Contact Transfer of Well-Aligned Carbon Nanotube Films", <u>J. Phys. Chem. B, vol. 103, pp. 4223-4227 (1999).</u>	
	KAMALAKARAN, R. ,et al., "Synthesis of thick and crystalline nanotube arrays by spray pyrolysis", <u>Appl. Phys. Lett., vol. 77, no. 21, pp. 3385-3387 (Nov. 20, 2000).</u>	
	KUDASHOV, A. G.,et al., "Gas-Phase Synthesis of Nitrogen-Containing Carbon Nanotubes and Their Electronic Properties", <u>Physics of the Solid State, vol. 44, no. 4 (2002)pp. 626-629.</u>	
	LEE, CHEOL J.,et al., "Diameter-controlled growth of carbon nanotubes using thermal chemical vapor deposition", <u>Chem. Phys. Lett., vol. 341, pp. 245-249 (2001).</u>	
	MAYNE, M. ,et al., "Pyrolytic production of aligned carbon nanotubes from homogeneously dispersed benzene-based aerosols", <u>Chem. Phys. Lett. vol. 338, pp. 101-107 (Apr. 20, 2001).</u>	
	NARDUCCI, D. ,et al., "Modeling of aerosol-assisted chemical vapor co-deposition of NiO and carbon nanotubes", <u>J. Phys. IV France, vol. 9, no. 8, pp. 741-747 (Sep. 1999).</u>	

EXAMINER

/Daniel Mcracken/

DATE CONSIDERED

04/07/2008

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language translation is attached

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.M./

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/518,453
Filing Date	June 24, 2003 (Int'l. Filing Date)
First Named Inventor	MAYNE, Martine
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 3 of 3

Attorney Docket No: BRV.10035

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Abstract, Translation, English Language Equivalent or Search Report
	RAO, C.N.R. ,et al., "Large aligned-nanotube bundles from ferrocene pyrolysis", <u>Chem. Commun.</u> , pp. 1525-26 (1998).	
	SATISHKUMAR, B. C.,et al., "Bundles of aligned carbon nanotubes obtained by the pyrolysis of ferrocene-hydrocarbon mixtures: role of the metal nanoparticles produced in situ", <u>Chem. Phys. Lett.</u> , vol. 307, pp. 158-162 (1999).	
	SINGH, CHARANJEET ,et al., "Production of aligned carbon nanotubes by the CVD injection method", <u>Physics B</u> , vol. 323, no. 1-4, pp. 339-340 (Oct. 3, 2001).	
	WEI, B. Q.,et al., "Growing pillars of densely packed carbon nanotubes on Ni-coated silica", <u>Carbon</u> , vol. 40, pp. 47-51 (2002).	
	ZHANG, X. Y.,et al., "Template synthesis of well-graphitized carbon nanotube arrays", <u>Materials Science and Engineering</u> , vol. A308, pp. 9-12 (2001).	
	ZHU, H. W.,et al., "Direct Synthesis of Long Single-Walled Carbon Nanotube Strands", <u>Science</u> , vol. 296, pp. 884-886 (May 3, 2002).	

EXAMINER

/Daniel Mccracken/

DATE CONSIDERED

04/07/2008

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /D.M./